



PATENT

Case Docket No. SNAPA.026A

Date: February 21, 2003

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## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Thomas R. Ulrich, et al.  
Appl. No. : 10/060,920  
Filed : January 29, 2002  
For : FILE SYSTEM METADATA  
Examiner : Unknown  
Group Art Unit : 2152

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) Arlington, VA 22202, on

2/21/03  
(Date)

John R. King  
John R. King, Reg. No. 34,362

## TRANSMITTAL LETTER

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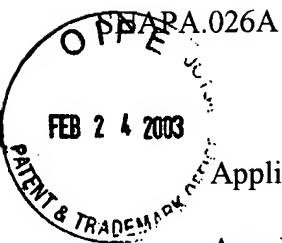
Dear Sir:

Enclosed for filing in the above-identified application are:

- (X) A Supplemental Information Disclosure Statement.
- (X) A PTO Form 1449 with fifty six (56) references.
- (X) The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment, to Account No. 11-1410.
- (X) Return prepaid postcard.

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John R. King  
John R. King  
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SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

United States Patent and Trademark Office  
P.O. Box 2327  
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Dear Sir:

Enclosed is form PTO-1449 listing fifty six references that are also enclosed. This Supplemental Information Disclosure Statement is being filed before the receipt of a first Office Action on the merits, and presumably no fee is required in accordance with 37 C.F.R. § 1.97(b)(3). If a first Office Action on the merits was mailed before the mailing date of this Statement, the Commissioner is authorized to charge the fee set forth in 37 C.F.R. § 1.17(p) to Deposit Account No. 11-1410.

Respectfully submitted,

KNOBBE, MARTENS, OLSON & BEAR, LLP

Dated: 2/21/03

By: John R. King  
John R. King  
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FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.  
SNAPA.026AAPPLICATION NO.  
10/060,920INFORMATION DISCLOSURE STATEMENT  
BY APPLICANT

(USE SEVERAL SHEETS IF NECESSARY)

APPLICANT  
Thomas R. Ulrich, et al.FILING DATE  
January 29, 2002GROUP  
2152

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPROPRIATE)
	1	5,355,453	10/11/94	Row et al.			
	2	5,388,231	02/07/95	Starr			
	3	5,485,579	01/16/96	Hitz et al.			
	4	5,513,314	04/30/96	Kandasamy et al.			
	5	5,701,516	12/23/97	Cheng et al.			
	6	5,802,366	09/01/98	Row et al.			
	7	5,819,292	10/06/98	Hitz et al.			
	8	5,862,312	01/19/99	Mann et al.			
	9	5,941,969	08/24/99	Ram et al.			
	10	5,948,110	09/07/99	Hitz et al.			
	11	5,950,225	09/07/99	Kleiman			
	12	5,963,962	10/05/99	Hitz et al.			
	13	5,996,089	11/30/99	Mann et al.			
	14	6,029,168	02/22/00	Frey			
	15	6,038,570	03/14/00	Hitz et al.			
	16	6,065,037	05/16/00	Hitz et al.			
	17	6,081,883	06/27/00	Popelka et al.			
	18	6,119,244	09/12/00	Schoenthal et al.			
	19	6,148,414	11/14/00	Brown et al.			

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## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION
							YES NO

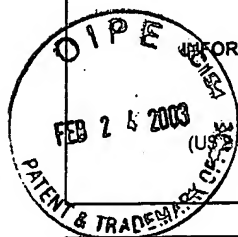
EXAMINER INITIAL		OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)
	20	Microsoft Knowledge Base Article -222189; Description of Disk Groups in Windows Disk Management, pgs. 1-5.
	21	The Network Appliance Enterprise Storage Architecture: System and Data Availability TR 3065 by Michael J. Marchi & Andy Watson, Network Appliance, Inc., pgs. 1-10.

EXAMINER	DATE CONSIDERED
*EXAMINER: INITIAL IF CITATION CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP 609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED, INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.	

FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.  
SNAPA.026AAPPLICATION NO.  
10/060,920INFORMATION DISCLOSURE STATEMENT  
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EXAMINER INITIAL	OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)
22	SnapMirror and SnapRestore: Advances in Snapshot Technology by Keith Brown, Jeff Katcher, Rex Walters & Andy Watson, Network Appliance, Inc., pgs. 1-15.
23	SecureShare™: Guaranteed Multiprotocol File Locking by Keith Brown & Andrea Borr, Network Appliance, Inc., pgs. 1-17.
24	File System Security: Secure Network Data Sharing for NT and UNIX by Bridget Allison, Robert Hawley, Andrea Borr, Mark Muhlestein & David Hitz, Network Appliance, Inc., pgs. 1-12.
25	Data Protection Strategies for Network Appliance Filers by Jay Desai, Grant Melvin, David Yu, Mike Federwisch, Network Appliance, Inc., pgs. 1-32.
26	Multiple Volumes and Multiple RAID Groups on NetApp Filers by Karl L. Swartz, Network Appliance, Inc., pgs. 1-9.
27	Windows® 2000 and NetApp® Filers: An Overview TR 3113 by John Phillips, Network Appliance, Inc., pgs. 1-6.
28	Integrating NetApp® Filers with the Microsoft® Active Directory TR 3124 by John Phillips, Network Appliance, Inc., pgs. 1-10.
29	CIFS Authentication and Security TR3020 by Bridget Allison, Network Appliance, Inc., pgs. 1-7.
30	High Availability Storage Appliance TR 3127 by Jim Helfrich, Network Appliance Inc., pgs. 1-8.
31	SnapMirror and SnapRestore: Advances in Snapshot Technology TR 3043 by Keith Brown, Jeff Katcher, Rex Walters & Andy Watson, Network Appliance, Inc., pgs. 1-14.
32	Merging NT and UNIX Filesystem Permissions TR 1005 by Bridget Allison, Robert Hawley, Andrea Borr, Mark Muhlestein & David Hitz, Network Appliance, Inc., pgs. 1-13.
33	File System Design for an NFS File Server Appliance TR3002 by Dave Hitz, James Lau, & Michael Malcolm, Network Appliance, Inc., pgs. 1-10.
34	SecureShare™ Safe UNIX/Windows File Sharing through Multiprotocol Locking by Andrea Borr, pgs. 1-16.
35	Soft Updates: A Solution to the Metadata Update Problem in File Systems by Gregory R. Ganger, Marshall Kirk McKusick, Craig A. N. Soules and Yale N. Patt, pgs 1-27.
36	Soft Updates: A Technique for Eliminating Most Synchronous Writes in the Fast Filesystem by Marshall Kirk McKusick and Gregory R. Ganger, pgs. 1-18.
37	Journaling Versus Soft Updates: Asynchronous Meta-Data Protection In File Systems by Margo I. Seltzer, Gregory R. Ganger, M. Kirk McKusick, Keith A. Smith, Craig A. N. Soules, and Christopher A. Stein, pgs. 1-15.
38	Exploring SMB by Andrew Tridgell, May 8, 2000, pgs. 1-6.
39	Transactions and Recovery File Systems & Databases; Anupam Bhide, CalSoft Private Limited, 22 Gaurishankar, Shivaji Housing Society, Off Senapati Bapat Road PUNE, pgs. 1-24.
40	Storage Resource Management Requirements for Disk Storage by John Tyrrell, Mich Dutch and Steve Terwilliger, pgs. 1-26.
41	IBM StorageTank™, A Distributed Storage System by D.A. Pease, R.M. Rees, W.C. Hineman, D.L. Plantenberg, R.A. Becker-Szendy, R. Ananthanarayanan, M. Sivan-Zimet, C.J. Sullivan: IBM Almaden Research Center; R.C. Burns: Johns Hopkins University; D.D.E. Long: University of California, Santa Cruz, January 23, 2002, pgs. 1-7.
42	Storage Tank, Randal Burns; Storage Systems and Servers, IBM Almaden Research Center by Robert Rees, David Pease, Wayne Hineman, Michael Penner and Darrell Long, pgs. 1-44.
43	Storage Tank, IBM Almaden Research Center by Bob Rees, David Pease, Randal Burns and Jai Menon, pgs. 1-7.

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FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE  <b>INFORMATION DISCLOSURE STATEMENT          BY APPLICANT</b>  (USE SEVERAL SHEETS IF NECESSARY)	ATTY. DOCKET NO. SNAPA.026A	APPLICATION NO. 10/060,920
	APPLICANT Thomas R. Ulrich, et al.	
	FILING DATE January 29, 2002	GROUP 2152

EXAMINER INITIAL	OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)
44	Semi-Preemptible Locks for a Distributed File System by Randal C. Burns, Robert M. Rees and Darrell D. E. Long, pgs. 1-8.
45	Scalable Session Locking for a Distributed File System by Randal C. Burns, Robert M. Rees, Larry J. Stockmeyer and Darrell D. E. Long, pgs. 1-25.
46	Consistency and Locking for Distributing Updates to Web Servers Using a File System by Randal C. Burns, Robert M. Rees and Darrell D. E. Long, pgs. 1-7.
47	Efficiently Distributing Data in a Web Server Farm by Randal C. Burns, Robert M. Rees and Darrell D. E. Long, pgs. 1-11.
48	An Analytical Study of Opportunistic Lease Renewal by Randal C. Burns, Robert M. Rees and Darrell D. E. Long, pgs. 1-8.
49	Safe Caching in a Distributed File System for Network Attached Storage by Randal C. Burns, Robert M. Rees and Darrell D. E. Long, pgs. 1-8.
50	A Bit-Parallel Search Algorithm for Allocating Free Space by Randal Burns and Wayne Hineman, pgs. 1-9.
51	Date Management in a Distributed File System for Storage Area Networks by Randal Chilton Burns, March 2000, pgs. 1-161.
52	Common Internet File System (CIFS) Version: CIFS-Spec 0.9, Draft SNIA CIFS Work Group Work-in-Progress, Revision Date: 3/26/2001, pgs. 1-126.
53	Serverless Network File Systems, Copyright © 1995 by Michael Donald Dahlin, pgs. 1-177.
54	Solaris Internals, Core Kernel Components; Sun Microsystems Press, A Prentice Hall Title, by Jim Mauro and Richard McDougall, pgs. 1-116.
55	Unix Internals, The New Frontiers by Uresh Vahalia, EMC Corporation, Hopkinton, MA, Prentice Hall, Upper Saddle River, New Jersey 07458, pgs. 1-151.
56	NFS Illustrated, An Imprint of Addison Wesley Longman, Inc., by Brent Callaghan, pgs. 1-120.

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